

JUDGE HELLERSTEIN

14 CV
CIVIL COVER SHEET

8402

OCT 21 2014

JS 44C/SDNY
REV. 4/2014

The JS-44 civil cover sheet and the information contained herein neither replace nor supplement the filing and service of pleadings or other papers as required by law, except as provided by local rules of court. This form, approved by the Judicial Conference of the United States in September 1974, is required for use of the Clerk of Court for the purpose of initiating the civil docket sheet.

PLAINTIFFS

MICHAEL PRESTON

DEFENDANTS

HSBC SECURITIES (USA) INC.

ATTORNEYS (FIRM NAME, ADDRESS, AND TELEPHONE NUMBER)
THE OTTINGER FIRM, P.C.
401 PARK AVENUE SOUTH
NEW YORK, NY 10016
(212) 571-2000

ATTORNEYS (IF KNOWN)

CAUSE OF ACTION (CITE THE U.S. CIVIL STATUTE UNDER WHICH YOU ARE FILING AND WRITE A BRIEF STATEMENT OF CAUSE)
(DO NOT CITE JURISDICTIONAL STATUTES UNLESS DIVERSITY)

Unlawful discrimination in violation of New York City and State laws; Diversity Jurisdiction pursuant to 28 U.S.C. §§ 1332

Has this action, case, or proceeding, or one essentially the same been previously filed in SDNY at any time? No ☒ Yes ☐ Judge Previously AssignedIf yes, was this case Vol. ☐ Invol. ☐ Dismissed. No ☐ Yes ☐ If yes, give date _____ & Case No. _____

IS THIS AN INTERNATIONAL ARBITRATION CASE?

No ☒ Yes ☐

(PLACE AN (x) IN ONE BOX ONLY)

NATURE OF SUIT

TORTS		ACTIONS UNDER STATUTES	
CONTRACT	PERSONAL INJURY	PERSONAL INJURY	FORFEITURE/PENALTY
[] 110 INSURANCE	[] 310 AIRPLANE	[] 367 HEALTHCARE/	[] 625 DRUG RELATED
[] 120 MARINE	[] 315 AIRPLANE PRODUCT	[] INJURY/PRODUCT LIABILITY	[] SEIZURE OF PROPERTY
[] 130 MILLER ACT	[] 320 ASSAULT, LIBEL &	[] 368 PERSONAL INJURY	[] 21 USC 881
[] 140 NEGOTIABLE	[] SLANDER	[] PRODUCT LIABILITY	[] 690 OTHER
[] 150 RECOVERY OF	[] 330 FEDERAL	[] 368 ASBESTOS PERSONAL	
OVERPAYMENT &	EMPLOYERS'	INJURY PRODUCT	
ENFORCEMENT	LIABILITY	LIABILITY	
[] 151 JUDGMENT	[] 340 MARINE	PERSONAL PROPERTY	
MEDICARE ACT	[] 345 MARINE PRODUCT	[] 370 OTHER FRAUD	
[] 152 RECOVERY OF	LIABILITY	[] 371 TRUTH IN LENDING	
DEFAULTED	[] 350 MOTOR VEHICLE		
STUDENT LOANS	[] 355 MOTOR VEHICLE		
(EXCL VETERANS)	PRODUCT LIABILITY		
[] 153 RECOVERY OF	[] 360 OTHER PERSONAL	[] 380 OTHER PERSONAL	LABOR
OVERPAYMENT	INJURY	PROPERTY DAMAGE	[] 710 FAIR LABOR
OF VETERAN'S	[] 362 PERSONAL INJURY -	PRODUCT LIABILITY	STANDARDS ACT
BENEFITS	MED MALPRACTICE		[] 720 LABOR/MGMT
[] 160 STOCKHOLDERS		PRISONER PETITIONS	RELATIONS
SUITS		[] 463 ALIEN DETAINEE	[] 740 RAILWAY LABOR ACT
[] 180 OTHER		[] 510 MOTIONS TO	[] 751 FAMILY MEDICAL
CONTRACT		VACATE SENTENCE	LEAVE ACT (FMLA)
[] 195 CONTRACT		[] 530 HABEAS CORPUS	[] 790 OTHER LABOR
PRODUCT		[] 535 DEATH PENALTY	LITIGATION
LIABILITY		[] 540 MANDAMUS & OTHER	[] 791 EMPL RET INC
[] 198 FRANCHISE			SECURITY ACT
	ACTIONS UNDER STATUTES		IMMIGRATION
	CIVIL RIGHTS		[] 462 NATURALIZATION
	[] 440 OTHER CIVIL RIGHTS		APPLICATION
	(Non-Prisoner)		[] 465 OTHER IMMIGRATION
	[] 441 VOTING		ACTIONS
	[] 442 EMPLOYMENT	PRISONER CIVIL RIGHTS	
	[] 443 HOUSING/	[] 550 CIVIL RIGHTS	
	ACCOMMODATIONS	[] 555 PRISON CONDITION	
	[] 445 AMERICANS WITH	[] 660 CIVIL DETAINEE	
	DISABILITIES -	CONDITIONS OF CONFINEMENT	
	EMPLOYMENT		
	[] 446 AMERICANS WITH		
	DISABILITIES - OTHER		
	[] 448 EDUCATION		
REAL PROPERTY			
[] 210 LAND			
CONDEMNATION			
[] 220 FORECLOSURE			
[] 230 RENT LEASE &			
EJECTMENT			
[] 240 TORTS TO LAND			
[] 245 TORT PRODUCT			
LIABILITY			
[] 260 ALL OTHER			
REAL PROPERTY			

Check if demanded in complaint:

☐ CHECK IF THIS IS A CLASS ACTION
UNDER F.R.C.P. 23

DO YOU CLAIM THIS CASE IS RELATED TO A CIVIL CASE NOW PENDING IN S.D.N.Y.? IF SO, STATE:

DEMAND \$ _____ OTHER _____ JUDGE _____ DOCKET NUMBER _____

Check YES only if demanded in complaint

JURY DEMAND: ☒ YES ☐ NO

NOTE: You must also submit at the time of filing the Statement of Relatedness form (Form IH-32).

(PLACE AN x IN ONE BOX ONLY)

- ORIGIN**
- ☒ 1 Original Proceeding ☐ 2 Removed from State Court ☐ 3 Remanded from Appellate Court ☐ 4 Reinstated or Reopened ☐ 5 Transferred from (Specify District) ☐ 6 Multidistrict Litigation ☐ 7 Appeal to District Judge from Magistrate Judge Judgment
- ☐ a. all parties represented ☐ b. At least one party is pro se.

(PLACE AN x IN ONE BOX ONLY)

- BASIS OF JURISDICTION**
- ☐ 1 U.S. PLAINTIFF ☐ 2 U.S. DEFENDANT ☐ 3 FEDERAL QUESTION (U.S. NOT A PARTY) ☒ 4 DIVERSITY

IF DIVERSITY, INDICATE CITIZENSHIP BELOW.

CITIZENSHIP OF PRINCIPAL PARTIES (FOR DIVERSITY CASES ONLY)

(Place an [X] in one box for Plaintiff and one box for Defendant)

CITIZEN OF THIS STATE	PTF DEF [] []	CITIZEN OR SUBJECT OF A FOREIGN COUNTRY	PTF DEF [] []	INCORPORATED and PRINCIPAL PLACE OF BUSINESS IN ANOTHER STATE	PTF DEF [] []
CITIZEN OF ANOTHER STATE	[X] []	INCORPORATED or PRINCIPAL PLACE OF BUSINESS IN THIS STATE	[] [X]	FOREIGN NATION	[] []

PLAINTIFF(S) ADDRESS(ES) AND COUNTY(IES)

Michael Preston
202 Prospect Ave.
Pine Beach, NJ 08741

DEFENDANT(S) ADDRESS(ES) AND COUNTY(IES)

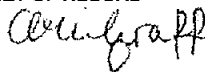
HSBC Securities (USA) Inc.
452 Fifth Avenue
New York, NY 10018

DEFENDANT(S) ADDRESS UNKNOWN

REPRESENTATION IS HEREBY MADE THAT, AT THIS TIME, I HAVE BEEN UNABLE, WITH REASONABLE DILIGENCE, TO ASCERTAIN RESIDENCE ADDRESSES OF THE FOLLOWING DEFENDANTS:

Check one: THIS ACTION SHOULD BE ASSIGNED TO: ☐ WHITE PLAINS ☒ MANHATTAN
(DO NOT check either box if this a PRISONER PETITION/PRISONER CIVIL RIGHTS COMPLAINT.)

DATE 10/21/2014 SIGNATURE OF ATTORNEY OF RECORD



ADMITTED TO PRACTICE IN THIS DISTRICT

☐ NO
☒ YES (DATE ADMITTED Mo. 07 Yr. 2007)
Attorney Bar Code # AG-8039

RECEIPT #

Magistrate Judge is to be designated by the Clerk of the Court.

Magistrate Judge _____ is so Designated.

Ruby J. Krajick, Clerk of Court by _____ Deputy Clerk, DATED _____.

UNITED STATES DISTRICT COURT (NEW YORK SOUTHERN)